

RECEIVED  
CENTRAL FAX CENTER

JAN 05 2006

**Yee &  
Associates, P.C.**4100 Alpha Road  
Suite 1100  
Dallas, Texas 75244Main No. (972) 385-8777  
Facsimile (972) 385-7766**Facsimile Cover Sheet**

<b>To: Commissioner for Patents for Examiner David E. England Group Art Unit 2143</b>	<b>Facsimile No.: 571/273-8300</b>
<b>From: Amelia Turner for Stephanie Fay Legal Assistant to Hope Shimabuku</b>	<b>No. of Pages Including Cover Sheet: 28</b>
<b>Message:</b>  Transmitted herewith: <ul style="list-style-type: none"><li>• Transmittal Document;</li><li>• Response to Notice of Non-Compliant Amendment; and</li><li>• Copy of Notice of Non-Compliant Amendment.</li></ul>	
<b>Re: Application No.: 10/615,164 Attorney Docket No: JP9-1999-0099US3</b>	
<b>Date: Thursday, January 05, 2006</b>	
<b>Please contact us at (972) 385-8777 if you do not receive all pages indicated above or experience any difficulty in receiving this facsimile.</b>	<i>This Facsimile is intended only for the use of the addressee and, if the addressee is a client or their agent, contains privileged and confidential information. If you are not the intended recipient of this facsimile, you have received this facsimile inadvertently and in error. Any review, dissemination, distribution, or copying is strictly prohibited. If you received this facsimile in error, please notify us by telephone and return the facsimile to us immediately.</i>

**PLEASE CONFIRM RECEIPT OF THIS TRANSMISSION BY  
FAXING A CONFIRMATION TO 972-385-7766.**

RECEIVED  
CENTRAL FAX CENTER

**JAN 05 2006**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Kawase et al.**

**Serial No.: 10/615,164**

**Filed: July 8, 2003**

**For: Method and System for Changing  
a Collaborating Client Behavior  
According to Context**

36736

PATENT TRADEMARK OFFICE  
CUSTOMER NUMBER

**Group Art Unit: 2143**

**Examiner: England, David E.**

Attorney Docket No.: JP9-1999-0099US3

**Certificate of Transmission Under 37 C.F.R. § 1.8(a)**

I hereby certify this correspondence is being transmitted via facsimile to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, facsimile number (571) 273-8300, on 01.05.06.

By: Amelia C. Turner  
Amelia C. Turner

**TRANSMITTAL DOCUMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Sir:**

TRANSMITTED HEREWITH:

- Response to Notice of Non-Compliant Amendment; and
- Copy of Notice of Non-Compliant Amendment.

No fees are believed to be required. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to IBM Corporation Deposit Account No. 09-0461. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to IBM Corporation Deposit Account No. 09-0461.

Respectfully submitted,

Hope Shimabuku  
Registration No. 57,072

**Duke W. Yee**  
*Registration No. 34,285*  
**YEE & ASSOCIATES, P.C.**  
P.O. Box 802333  
Dallas, Texas 75380  
(972) 385-8777  
**ATTORNEYS FOR APPLICANTS**



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/615,164	07/08/2003	Seisochi Kawana	JP9-1999-00991US3	8607
25259	7390	12/19/2003	EXAMINER	
IBM CORPORATION 3039 CORNWALLIS RD. DEPT. T81 / B503, PO BOX 12195 RESEARCH TRIANGLE PARK, NC 27709			ENGLAND, DAVID E	
			ART UNIT	PAPER NUMBER
			2143	
DATE MAILED: 12/19/2003				

Please find below and/or attached an Office communication concerning this application or proceeding.

## CLIENT DOCKET INFORMATION

Client Name: JP9-1999-00991 US3  
 File No.:  
 DATE: 12.19.03 ACTION DOCKETED  
Response to  
Notice of Non-  
Compliant Amendment  
 Docketed By: AND Date: 12.27.05  
 Checked By: AND Date: 12.27.05  
 Attorney Initials: \_\_\_\_\_ Date: \_\_\_\_\_

FTO-90C (Rev. 10/03)

# **Notice of Non-Compliant Amendment (37 CFR 1.121)**

Application No.

1065104

Applicant(s)

Examiner

Art Unit

— The MAILING DATE of this communication appears on the cover sheet with the correspondence address —

The amendment document filed on 12/26/05 is considered non-compliant because it has failed to meet the requirements of 37 CFR 1.121 or 1.4. In order for the amendment document to be compliant, correction of the following item(s) is required.

## **THE FOLLOWING MARKED (X) ITEM(S) CAUSE THE AMENDMENT DOCUMENT TO BE NON-COMPLIANT:**

- ☐ 1. Amendments to the specification:
  - ☐ A. Amended paragraph(s) do not include markings.
  - ☐ B. New paragraph(s) should not be underlined.
  - ☐ C. Other \_\_\_\_\_
- ☐ 2. Abstract:
  - ☐ A. Not presented on a separate sheet. 37 CFR 1.72.
  - ☐ B. Other \_\_\_\_\_
- ☐ 3. Amendments to the drawings:
  - ☐ A. The drawings are not properly identified in the top margin as "Replacement Sheet," "New Sheet," or "Annotated Sheet" as required by 37 CFR 1.121(d).
  - ☐ B. The practice of submitting proposed drawing correction has been eliminated. Replacement drawings showing amended figures, without markings, in compliance with 37 CFR 1.84 are required.
  - ☐ C. Other \_\_\_\_\_
- ☒ 4. Amendments to the claims:
  - ☐ A. A complete listing of all of the claims is not present.
  - ☒ B. The listing of claims does not include the text of all pending claims (including withdrawn claims)
  - ☐ C. Each claim has not been provided with the proper status identifier, and as such, the individual status of each claim cannot be identified. Note: the status of every claim must be indicated after its claim number by using one of the following status identifiers: (Original), (Currently amended), (Canceled), (Previously presented), (New), (Not entered), (Withdrawn) and (Withdrawn-currently amended).
  - ☐ D. The claims of this amendment paper have not been presented in ascending numerical order.
  - ☐ E. Other: \_\_\_\_\_
- ☐ 5. The amendment is unsigned or not signed in accordance with 37 CFR 1.4.

For further explanation of the amendment format required by 37 CFR 1.121, see MPEP § 714 and the USPTO website at <http://www.uspto.gov/web/offices/pac/dapp/opsa/preognotice/officeflyer.pdf>.

## **TIME PERIODS FOR FILING A REPLY TO THIS NOTICE:**

- Applicant is given no new time period if the non-compliant amendment is an after-final amendment or an amendment filed after allowance. If applicant wishes to resubmit the non-compliant after-final amendment with corrections, the entire corrected amendment must be resubmitted within the time period set forth in the final Office action.
- Applicant is given one month, or thirty (30) days, whichever is longer, from the mail date of this notice to supply the corrected section of the non-compliant amendment in compliance with 37 CFR 1.121 or 1.4, if the non-compliant amendment is one of the following: a preliminary amendment, a non-final amendment (including a submission for a request for continued examination (RCE) under 37 CFR 1.114), a supplemental amendment filed within a suspension period under 37 CFR 1.103(a) or (c), and an amendment filed in response to a *Quayle* action.

Extensions of time are available under 37 CFR 1.136(a) only if the non-compliant amendment is a non-final amendment or an amendment filed in response to a *Quayle* action.

Failure to timely respond to this notice will result in:

- Abandonment of the application if the non-compliant amendment is a non-final amendment or an amendment filed in response to a *Quayle* action; or
- Non-entry of the amendment if the non-compliant amendment is a preliminary amendment or supplemental amendment.

*Regan Yarbrough*  
Legal Instruments Examiner (LIE)

571 872-1859  
Telephone No.

RECEIVED  
CENTRAL FAX CENTER

JAN 05 2006

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application: Kawase et al.

Serial No.: 10/615,164

Filed: July 8, 2003

For: Method and System for Changing  
a Collaborating Client Behavior  
According to Context§  
§  
§  
§  
§  
§

Group Art Unit: 2143

Examiner: England, David E.

Attorney Docket No.: JP9-1999-0099US3

<p><b>Certificate of Transmission Under 37 C.F.R. § 1.8(a)</b> I hereby certify this correspondence is being transmitted via facsimile to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, facsimile number (571) 273-8300, on <u>01.05.06</u> By: <u>Amelia C. Turner</u> Amelia C. Turner</p>
--

**RESPONSE TO NOTICE OF NON-COMPLIANT AMENDMENT**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

No fees are believed to be required. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to IBM Corporation Deposit Account No. 09-0461. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to IBM Corporation Deposit Account No. 09-0461.

In response to the Notice of Non-Compliant Amendment dated December 19, 2005, please replace the Response to Office Action filed on November 29, 2005 with the following Response to Office Action. Please amend the above-identified application as follows:

**Amendments to the Specification** begin on page 2 of this paper.

**Amendments to the Drawings** begin on page 3 of this paper.

**Listing of Claims** begins on page 4 this paper.

**Remarks** begin on page 10 of this paper.